

Office Work Instruction (OWI)

HOWI7040-S002A

05/10/1999

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Assistant Associate Administrator for Strategic and International
Planning (AAA/SIP)

Subject: Performance Planning

DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/01/1999	This is the initial "baseline" version of the OWI.
Revision	A	05/10/1999	This revision incorporates modifications responsive to NCRs #279, #293, #296, #302, #311, #312, #315, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.

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1. PURPOSE The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) develops and documents Space Science Enterprise (SSE) Performance Plan Indicators (PPIs). The PPIs are subsequently incorporated into the NASA Performance Plan (PP) required by the Government Performance and Results Act (GPRA) of 1993.

2. SCOPE AND APPLICABILITY

2.1 Preparation of the SSE PPIs is the responsibility of the OSS Headquarters science management, based on information obtained from program and project offices at the NASA Centers and from the OSS Assistant Associate Administrator for Education and Public Outreach (AAA/EPO), with coordinating support from the OSS Assistant Associate Administrator for Strategic and International Planning (AAA/SIP).

3. DEFINITIONS

3.1 AA. The OSS Associate Administrator.

3.2 AAA/EPO. The OSS Assistant Associate Administrator for Education and Public Outreach.

3.3 AAA/SIP. The OSS Assistant Associate Administrator for Strategic and International Planning.

3.4 Code B. The NASA Headquarters Office of the Chief Financial Officer.

3.5 Code SA. The OSS Science Board of Directors.

3.6 Code SD. The OSS Mission and Payload Development Division.

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- 3.7 Code SM. The OSS Advanced Technology and Mission Studies Division.
- 3.8 Code SP. The OSS Administration and Resources Management Division.
- 3.9 Code SR. The OSS Research Programs Management Division.
- 3.10 Program Operating Plan (POP). Yearly solicitation to NASA Centers by NASA Headquarters for planning information (including proposed budgets) for activities for the new budget year.
- 3.11 Research and Analysis (R&A). Programs that fund supporting scientific research such as instrumentation, theory, and data analysis.

4. REFERENCES

- 4.1 ANSI/ISO/ASQC Q9001-1994
 American National Standard, Quality Systems --
 Model for Quality Assurance in Design,
 Development, Production, Installation, and
 Servicing
- 4.2 GPRA Government Performance and Results Act of
 1993
- 4.3 HCP1280-2 Corrective and Preventive Action
- 4.4 HCP1280-3 Internal Quality Audits
- 4.5 HCP1400-1 Document and Data Control

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4.6	HCP3410-4	Employee Training
4.7	HQPC1150.1	NASA Headquarters Quality Council Policy Charter
4.8	HQSM1200-1	NASA Headquarters Quality System Manual
4.9	NHB 1101.3	NASA Organization Handbook
4.10	NPD 1000.1	NASA Strategic Plan
4.11	NPD 8730.3	NASA Quality Management System Policy (ISO 9000)
4.12	NPG 1000.2	NASA Strategic Management Handbook
4.13	NPG 1441.1	NASA Records Retention Schedules (NRRS)

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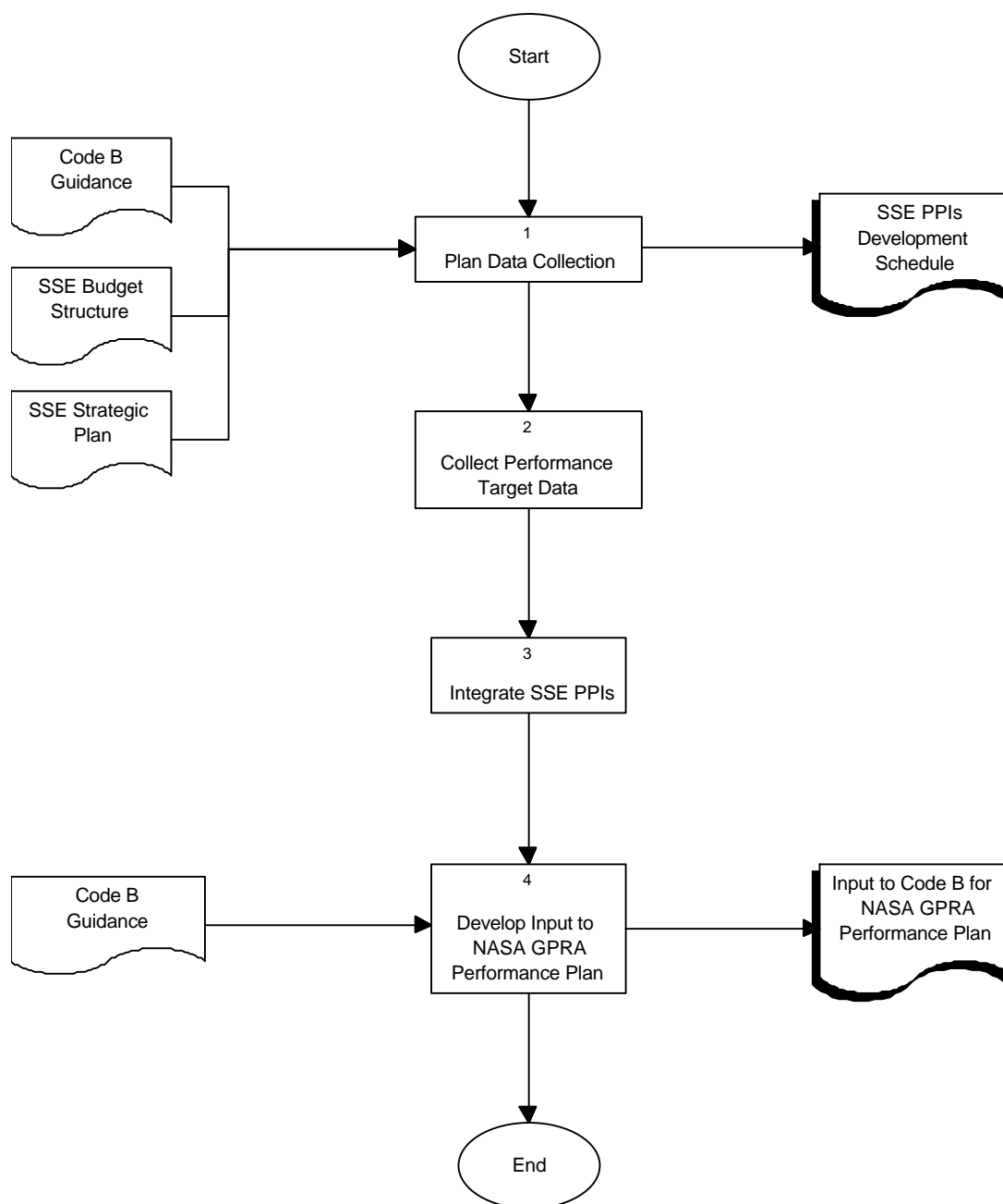
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5. FLOWCHART

[NOTE: "Quality record" output products are identified via shadowing of the standard ANSI document symbol.]



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6. PROCEDURE

[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]

<u>STEP #</u>	<u>AGENTS</u>	<u>DESCRIPTION</u>
1	AAA/SIP, SP	The AAA/SIP formulates a plan for development of the SSE PPIs based on NASA-level guidance received from Code B. Since the NASA GPRA PP is structured in alignment with program budget lines, a template of the coming year's budget submission is provided by Code SP. The development plan, which includes a detailed schedule, is circulated to the OSS Science Board of Directors (Code SA) and to Codes SD, SM, and SR.
2	AAA/EPO, AAA/SIP, SD, SM, SP, SR	In consultation with Codes SD, SM, SP, and SR, the AAA/SIP formulates a request for performance indicator information that is incorporated into the Program Operating Plan (POP) call that initiates the budget cycle. These performance targets are events in each budgeted project that will occur during the fiscal year of the OSS/SSE budget in development. Education and Public Outreach targets are obtained from the AAA/EPO. Not all budget elements can be represented by discrete events; some programs (such as R&A, data analysis, and some basic-technology research programs) are evaluated at the conclusion of the fiscal year by a retrospective assessment process. These are explicitly identified and excluded from the request for event-based performance targets. When the NASA Center POP submissions are received by Code SP, the proposed project performance targets are stripped out by Code SP and provided to the AAA/SIP, who validates them by consultation with Program Executives and Program Scientists in Codes SD, SM, and SR.

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- 3 AAA/SIP, SA, SD, SM, SP, SR
As the OSS/SSE budget proposal matures, the AAA/SIP checks the collected performance targets for continued alignment with the budget structure. The objective is to have one or more clearly verifiable milestone accomplishments for each budgeted project line (i.e., the objective is not to develop an exhaustive statusing framework for each individual project, but rather a broad means to assess the integrated condition of the SSE at the end of the fiscal year). The AAA/SIP collects the performance targets, aggregates them into PPIs, and circulates the package for comment and concurrence to the Science Board of Directors (Code SA) and the directors of the NASA Headquarters OSS divisions (Codes SD, SM, SP, and SR). As a component of the budget proposal for the next fiscal year, it may be included in the budget embargo.
- 4 AAA/SIP
The GPRA requires federal agencies to submit a formal performance plan with their budget submissions for each fiscal year. Responding to Code B guidance, the AAA/SIP formats the PPIs and develops accompanying narrative material for inclusion in the NASA GPRA Performance Plan (PP).

7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
SSE Performance Plan Indicators (PPIs) Development Schedule	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 1, Item 79A	Retire to FRC when 5 years old. Destroy when 20 years old.
Input to Code B for NASA GPRA Performance Plan	AAA/SIP	AAA/SIP office	Hardcopy	Schedule 1, Item 79A	Retire to FRC when 5 years old. Destroy when 20 years old.

[NOTE #1: These "quality record" output products are identified in Section 5 ("Flowchart") of this OWI via shadowing of the standard ANSI document symbol.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]

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